

02/13/02
U.S. PTO

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.	500803.02	February 13, 2002
First Inventor or Application Identifier		Michael Nuttall
Title	METHOD FOR ENHANCING VERTICAL GROWTH DURING THE SELECTIVE FORMATION OF SILICON AND STRUCTURES FORMED USING SAME	
Express Mail Label No.	EL 872041338 US	

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:Box Patent Application
Commissioner of Patents
Washington, D.C. 20231

- | | | | | |
|--|---|--|---|--|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Sheet (+ copy)
<i>(Submit an original and a duplicate for fee processing)</i> | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) | | | |
| 2. <input type="checkbox"/> Applicant(s) Claim(s) Small Entity Status | 8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission
<i>(if applicable, all necessary)</i> | | | |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages]
<i>(preferred arrangement set forth below)</i> | 15 | a. <input type="checkbox"/> Computer-Readable Form (CRF) | | |
| - Descriptive Title of the Invention | | | | |
| - Cross References to Related Applications | | | | |
| - Statement Regarding Fed sponsored R & D | | | | |
| - Reference to Microfiche Appendix | | | | |
| - Background of the Invention | | | | |
| - Brief Summary of the Invention | | | | |
| - Brief Description of the Drawings <i>(if filed)</i> | | | | |
| - Detailed Description | | | | |
| - Claim(s) | | | | |
| - Abstract of the Disclosure | | | | |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets] | 2 | c. <input type="checkbox"/> Statement verifying identity of above copies | | |
| 5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages] | 2 | ACCOMPANYING APPLICATION PARTS | | |
| a. <input type="checkbox"/> Newly executed (original or copy) | | | 9. <input type="checkbox"/> Certification Under 35 U.S.C. 122(b)(2)(B)(i) | |
| b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))
<i>(for continuation/divisional with Box 18 completed)</i> | | | 10. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) | |
| i. <input type="checkbox"/> DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) | | | 11. <input type="checkbox"/> 37 CFR 3.73(b) Statement <i>(when there is an assignee)</i> | <input type="checkbox"/> Power of Attorney |
| 6. <input checked="" type="checkbox"/> Application Data Sheet (37 C.F.R. 1.76) | | | 12. <input type="checkbox"/> English Translation Document <i>(if applicable)</i> | |
| 18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment | | | 13. <input checked="" type="checkbox"/> Preliminary Amendment Total Pages 11 | |
| <input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Divisional <input type="checkbox"/> Continuation-In-Part (CIP) of prior Application No.: 09/770,909 Filed January 26, 2001 | | | 14. <input checked="" type="checkbox"/> Return Receipt Postcard | |
| Prior application information: Examiner David Vu | | | 15. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 | <input type="checkbox"/> Copies of IDS Citations |
| | | | 16. <input type="checkbox"/> Certified Copy of Priority Document(s)
<i>(if foreign priority is claimed)</i> | |
| | | | 17. <input checked="" type="checkbox"/> Other: <u>Certificate of Express Mail</u>
<u>Check; Copy of Election & POA</u> | |

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment

 Continuation Divisional Continuation-In-Part (CIP) of prior Application No.: 09/770,909 Filed January 26, 2001

Prior application information: Examiner David Vu

Group / Art Unit 2818

 Incorporation By Reference *(useable if box 5b is checked)*

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

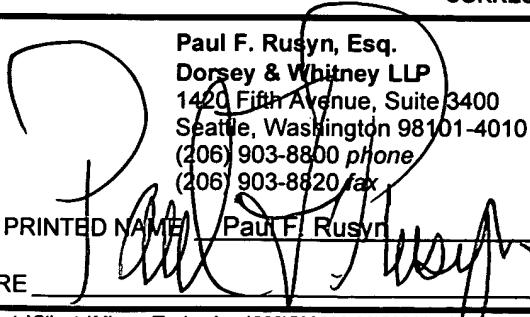
CORRESPONDENCE ADDRESS

Paul F. Rusyn, Esq.
Dorsey & Whitney LLP
1420 Fifth Avenue, Suite 3400
Seattle, Washington 98101-4010
(206) 903-8800 phone
(206) 903-8820 fax

Customer No. 27,076

TYPED or PRINTED NAME Paul F. Rusyn

REGISTRATION NO. 42,118

SIGNATURE 

Date

13 Feb '02

FEE TRANSMITTAL SHEET (FOR FY 2001)

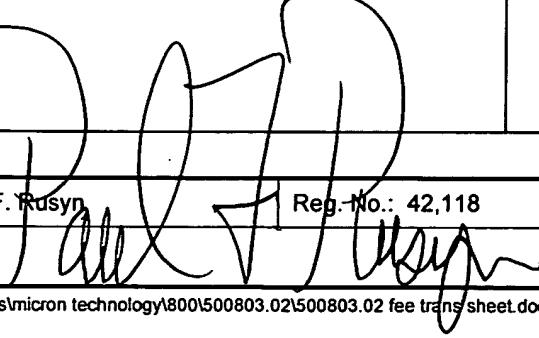
Complete if Known																																																																																																																																																																						
Express Mail No.		EL 872041338 US																																																																																																																																																																				
Filing Date		Concurrently Herewith																																																																																																																																																																				
First Named Inventor		Michael Nuttall																																																																																																																																																																				
Group Art Unit		Not Yet Assigned																																																																																																																																																																				
Examiner		Not Yet Assigned																																																																																																																																																																				
Atty. Docket Number		500803.02																																																																																																																																																																				
METHOD OF PAYMENT (Check One)			FEE CALCULATION (Continued)																																																																																																																																																																			
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP 2. <input checked="" type="checkbox"/> Check Enclosed			3. ADDITIONAL FEES <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Large Entity</th> <th style="width: 15%;">Small Entity</th> <th></th> <th></th> <th></th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - Late filing fee or oath</td><td>\$</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td>\$</td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td>\$</td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For Filing a Request for Reexamination</td><td>\$</td></tr> <tr><td>195</td><td>300</td><td>196</td><td>300</td><td>Publication (early or Republication)</td><td>\$</td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td>\$</td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within 2nd month</td><td>\$</td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td>Extension for reply within 3rd month</td><td>\$</td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td>Extension for reply within 4th month</td><td>\$</td></tr> <tr><td>128</td><td>1,960</td><td>280</td><td>980</td><td>Extension for reply within 5th month</td><td>\$</td></tr> <tr><td>120</td><td>320</td><td>220</td><td>160</td><td>Filing a brief in support of an appeal</td><td>\$</td></tr> <tr><td>121</td><td>280</td><td>270</td><td>140</td><td>Request for oral hearing</td><td>\$</td></tr> <tr><td>148</td><td>110</td><td>248</td><td>55</td><td>Terminal Disclaimer Fee</td><td>\$</td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive – unavoidable</td><td>\$</td></tr> <tr><td>141</td><td>1,280</td><td>241</td><td>640</td><td>Petition to revive – unintentional</td><td>\$</td></tr> <tr><td>142</td><td>1,280</td><td>242</td><td>640</td><td>Utility/Reissue issue fee (+ advance copies)</td><td>\$</td></tr> <tr><td>143</td><td>460</td><td>243</td><td>230</td><td>Design issue fee (+ advance copies)</td><td>\$</td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td>\$</td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td>\$</td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of IDS</td><td>\$</td></tr> <tr><td>581</td><td>40</td><td>81</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>\$</td></tr> <tr><td>179</td><td>740</td><td>279</td><td>370</td><td>Request for Continued Examination (RCE)</td><td>\$</td></tr> <tr> <td colspan="6" style="text-align: right; padding-right: 10px;">Other fee (specify)</td> </tr> <tr> <td colspan="6" style="text-align: right; padding-right: 10px;">Subtotal (3) \$0</td> </tr> <tr> <td colspan="6" style="text-align: right; padding-right: 10px;">Total Amount of Payment: \$776</td> </tr> </tbody> </table>			Large Entity	Small Entity				Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid	105	130	205	65	Surcharge - Late filing fee or oath	\$	127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$	139	130	139	130	Non-English specification	\$	147	2,520	147	2,520	For Filing a Request for Reexamination	\$	195	300	196	300	Publication (early or Republication)	\$	115	110	215	55	Extension for reply within first month	\$	116	400	216	200	Extension for reply within 2 nd month	\$	117	920	217	460	Extension for reply within 3 rd month	\$	118	1,440	218	720	Extension for reply within 4 th month	\$	128	1,960	280	980	Extension for reply within 5 th month	\$	120	320	220	160	Filing a brief in support of an appeal	\$	121	280	270	140	Request for oral hearing	\$	148	110	248	55	Terminal Disclaimer Fee	\$	140	110	240	55	Petition to revive – unavoidable	\$	141	1,280	241	640	Petition to revive – unintentional	\$	142	1,280	242	640	Utility/Reissue issue fee (+ advance copies)	\$	143	460	243	230	Design issue fee (+ advance copies)	\$	122	130	122	130	Petitions to the Commissioner	\$	123	50	123	50	Petitions related to provisional applications	\$	126	180	126	180	Submission of IDS	\$	581	40	81	40	Recording each patent assignment per property (times number of properties)	\$	179	740	279	370	Request for Continued Examination (RCE)	\$	Other fee (specify)						Subtotal (3) \$0						Total Amount of Payment: \$776					
Large Entity	Small Entity																																																																																																																																																																					
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid																																																																																																																																																																	
105	130	205	65	Surcharge - Late filing fee or oath	\$																																																																																																																																																																	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$																																																																																																																																																																	
139	130	139	130	Non-English specification	\$																																																																																																																																																																	
147	2,520	147	2,520	For Filing a Request for Reexamination	\$																																																																																																																																																																	
195	300	196	300	Publication (early or Republication)	\$																																																																																																																																																																	
115	110	215	55	Extension for reply within first month	\$																																																																																																																																																																	
116	400	216	200	Extension for reply within 2 nd month	\$																																																																																																																																																																	
117	920	217	460	Extension for reply within 3 rd month	\$																																																																																																																																																																	
118	1,440	218	720	Extension for reply within 4 th month	\$																																																																																																																																																																	
128	1,960	280	980	Extension for reply within 5 th month	\$																																																																																																																																																																	
120	320	220	160	Filing a brief in support of an appeal	\$																																																																																																																																																																	
121	280	270	140	Request for oral hearing	\$																																																																																																																																																																	
148	110	248	55	Terminal Disclaimer Fee	\$																																																																																																																																																																	
140	110	240	55	Petition to revive – unavoidable	\$																																																																																																																																																																	
141	1,280	241	640	Petition to revive – unintentional	\$																																																																																																																																																																	
142	1,280	242	640	Utility/Reissue issue fee (+ advance copies)	\$																																																																																																																																																																	
143	460	243	230	Design issue fee (+ advance copies)	\$																																																																																																																																																																	
122	130	122	130	Petitions to the Commissioner	\$																																																																																																																																																																	
123	50	123	50	Petitions related to provisional applications	\$																																																																																																																																																																	
126	180	126	180	Submission of IDS	\$																																																																																																																																																																	
581	40	81	40	Recording each patent assignment per property (times number of properties)	\$																																																																																																																																																																	
179	740	279	370	Request for Continued Examination (RCE)	\$																																																																																																																																																																	
Other fee (specify)																																																																																																																																																																						
Subtotal (3) \$0																																																																																																																																																																						
Total Amount of Payment: \$776																																																																																																																																																																						
FEE CALCULATION																																																																																																																																																																						
1. BASIC FILING FEE <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Large Entity</th> <th style="width: 15%;">Small Entity</th> <th></th> <th></th> <th></th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr><td>101</td><td>740</td><td>201</td><td>370</td><td><input checked="" type="checkbox"/> Utility Filing Fee</td></tr> <tr><td>106</td><td>330</td><td>206</td><td>165</td><td><input type="checkbox"/> Design Filing Fee</td></tr> <tr><td>108</td><td>740</td><td>208</td><td>370</td><td><input type="checkbox"/> Reissue Filing Fee</td></tr> <tr><td>134</td><td>160</td><td>214</td><td>80</td><td><input type="checkbox"/> Provisional Filing Fee</td></tr> <tr> <td colspan="4" style="text-align: right; padding-right: 10px;">Subtotal (1) \$ 740</td> <td></td> </tr> </tbody> </table>			Large Entity	Small Entity				Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	101	740	201	370	<input checked="" type="checkbox"/> Utility Filing Fee	106	330	206	165	<input type="checkbox"/> Design Filing Fee	108	740	208	370	<input type="checkbox"/> Reissue Filing Fee	134	160	214	80	<input type="checkbox"/> Provisional Filing Fee	Subtotal (1) \$ 740																																																																																																																																					
Large Entity	Small Entity																																																																																																																																																																					
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description																																																																																																																																																																		
101	740	201	370	<input checked="" type="checkbox"/> Utility Filing Fee																																																																																																																																																																		
106	330	206	165	<input type="checkbox"/> Design Filing Fee																																																																																																																																																																		
108	740	208	370	<input type="checkbox"/> Reissue Filing Fee																																																																																																																																																																		
134	160	214	80	<input type="checkbox"/> Provisional Filing Fee																																																																																																																																																																		
Subtotal (1) \$ 740																																																																																																																																																																						
2. EXTRA CLAIM FEES <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Current Claims</th> <th style="width: 15%;">Prior</th> <th style="width: 15%;">Extra</th> <th style="width: 15%;">Fee</th> <th style="width: 15%;">Fee Paid</th> <th></th> </tr> <tr> <th>Total</th> <th>22</th> <th>20</th> <th>= 2</th> <th>x \$ 18 = \$ 36</th> <th></th> </tr> </thead> <tbody> <tr> <td>Ind.</td> <td>2</td> <td>3</td> <td>= 0</td> <td>x \$ = \$ 0</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right; padding-right: 10px;">Subtotal (2) \$36</td> <td></td> </tr> </tbody> </table>			Current Claims	Prior	Extra	Fee	Fee Paid		Total	22	20	= 2	x \$ 18 = \$ 36		Ind.	2	3	= 0	x \$ = \$ 0		Subtotal (2) \$36																																																																																																																																																	
Current Claims	Prior	Extra	Fee	Fee Paid																																																																																																																																																																		
Total	22	20	= 2	x \$ 18 = \$ 36																																																																																																																																																																		
Ind.	2	3	= 0	x \$ = \$ 0																																																																																																																																																																		
Subtotal (2) \$36																																																																																																																																																																						
Large Entity <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Fee Code</th> <th style="width: 15%;">Fee (\$)</th> <th style="width: 15%;">Fee Code</th> <th style="width: 15%;">Fee (\$)</th> <th></th> <th></th> </tr> <tr> <th></th> <th></th> <th></th> <th></th> <th>Fee Description</th> <th></th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102</td><td>84</td><td>202</td><td>42</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104</td><td>280</td><td>204</td><td>140</td><td>Multiple dependent Claim</td><td></td></tr> <tr><td>109</td><td>80</td><td>209</td><td>40</td><td>Reissue independent claims over original patent</td><td></td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>Reissue claims in excess of 20 and over original patent</td><td></td></tr> </tbody> </table>			Fee Code	Fee (\$)	Fee Code	Fee (\$)							Fee Description		103	18	203	9	Claims in excess of 20		102	84	202	42	Independent claims in excess of 3		104	280	204	140	Multiple dependent Claim		109	80	209	40	Reissue independent claims over original patent		110	18	210	9	Reissue claims in excess of 20 and over original patent																																																																																																																											
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																																																			
				Fee Description																																																																																																																																																																		
103	18	203	9	Claims in excess of 20																																																																																																																																																																		
102	84	202	42	Independent claims in excess of 3																																																																																																																																																																		
104	280	204	140	Multiple dependent Claim																																																																																																																																																																		
109	80	209	40	Reissue independent claims over original patent																																																																																																																																																																		
110	18	210	9	Reissue claims in excess of 20 and over original patent																																																																																																																																																																		

Submitted by:

Name: Paul F. Rusyn

Reg. No.: 42,118

Telephone: (206) 903-8800

Signature: 

Date: 13 Feb. 02

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Michael Nuttall and
Garry Anthony Mercaldi

Attorney Docket No.: 500803.02

Filed : February 13, 2002

Title : METHOD FOR ENHANCING VERTICAL GROWTH DURING THE
SELECTIVE FORMATION OF SILICON, AND STRUCTURES FORMED
USING SAME

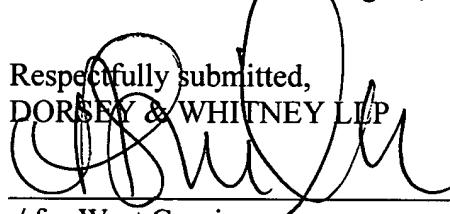
CERTIFICATE OF MAILING BY "EXPRESS MAIL"

BOX PATENT APPLICATION

•Commissioner for Patents
Washington, DC 20231

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL 872041338 US, on February 13, 2002, addressed to Box Patent Application, Commissioner for Patents, Washington, DC 20231.

Respectfully submitted,
DORSEY & WHITNEY LLP


/ for West Courier

PFR:asw

Enclosures:

Postcard
Check
PTO/SB/05 Utility Patent Application Transmittal
Application Data Sheet
Fee Transmittal Sheet (+ copy)
General Authorization
Preliminary Amendment
Specification, Claims, Abstract (15 pages)
2 Sheets of Drawings (Figures 1-3)
Copy of Declaration
Copy of Election and Power of Attorney

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Michael Nuttall and
Garry Anthony Mercaldi

Attorney Docket No.: 500803.02

Filed : Concurrently Herewith

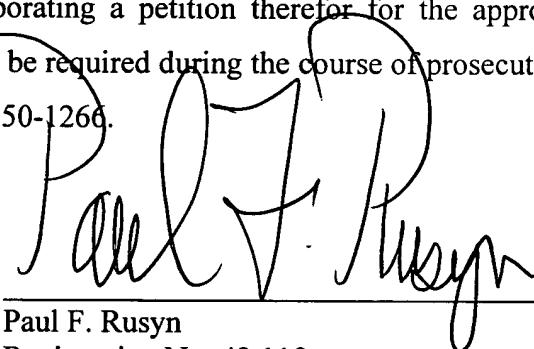
Title : METHOD FOR ENHANCING VERTICAL GROWTH DURING THE SELECTIVE
FORMATION OF SILICON, AND STRUCTURES FORMED USING SAME**GENERAL AUTHORIZATION**

Box Patent Application
Commissioner of Patents
Washington, D.C. 20231

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date

13 Feb '02

Paul F. Rusyn
Registration No. 42,118

PFR:asw

1420 Fifth Avenue, Suite 3400
Seattle, WA 98101-4010
(206) 903-8800
Fax (206) 903-8820